

7-30-02

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Andrea G. Cochran et al. Examiner: S. Tizio
Serial No.: 09/592, 695 Group Art Unit: 1627
Filed: June 13, 2000 Docket: 11669.0116USU1/P1762R1
Title: STRUCTURED PEPTIDE SCAFFOLD FOR DISPLAYING TURN LIBRARIES ON PHAGE



CERTIFICATE UNDER 37 CFR 1.10:

"Express Mail" mailing label number: EL 904256655 US
Date of Deposit: July 25, 2002

I hereby certify that this paper or fee is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to U.S. Patent and Trademark Office, 2011 South Clark Place, Customer Window, Box Sequence, Crystal Plaza Two, Lobby, Room 1B03, Arlington, VA 22202.

By: *Denise M. Kettelberger*

Name: Denise M. Kettelberger

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8-7-02

RESPONSE TO NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

U.S. Patent and Trademark Office
2011 South Clark Place
Customer Window, Box Sequence
Crystal Plaza Two, Lobby
Room 1B03
Arlington, VA 22202.

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AUG 05 2002

TECH CENTER 1600/2900

Dear Sir:

This is responsive to the Notice to Comply with Requirements For Patents Applications Containing Nucleotide Sequence And/or Amino Acid Sequence Disclosures dated July 1, 2002. Transmitted herewith are the following documents:

1. A substitute Sequence Listing, in paper copy and a computer-readable diskette;
2. Certificate Re: Sequence Listing Response Under 37 CFR 1.821 (f) and (g); and
3. Copy of Notice to Comply with Requirements For Patent Applications Containing Nucleotide Sequence And/or Amino Acid Sequence Disclosures.

In the event any additional fees are due in connection with the filing of these documents, the Commissioner is authorized to charge such fees to our Deposit Account No. 13-2725.

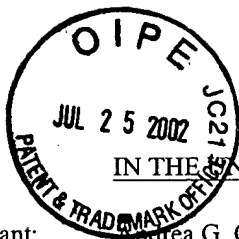
MERCHANT & GOULD P.C.
P.O. Box 2903, Minneapolis, MN 55402-0903
206.342.6200

By: *Denise M. Kettelberger*

Name: Denise M. Kettelberger

Reg. No.: 33,924





IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Andrea G. Cochran et al.

Examiner: S. Tizio

Serial No.: 09/592,695

Group Art Unit: 1627

Filed: June 13, 2000

Docket: 11669.0116USU1/P1762R1

Title: STRUCTURED PEPTIDE SCAFFOLD FOR DISPLAYING TURN LIBRARIES ON PHAGE

CERTIFICATE UNDER 37 CFR 1.10:

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I hereby certify that this paper or fee is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to U.S. Patent and Trademark Office, 2011 South Clark Place, Customer Window, Box Sequence, Crystal Plaza Two, Lobby, Room 1B03, Arlington, VA 22202.

By:

Name: Denise M. Kettelberger

CERTIFICATE RE: SEQUENCE LISTING
RESPONSE UNDER 37 CFR 1.821 (f) and (g)

U.S. Patent and Trademark Office
Commissioner for Patents
2011 South Clark Place
Customer Window, Box Sequence
Crystal Plaza Two, Lobby
Room 1B03
Arlington, VA 22202.

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AUG 05 2002

TECH CENTER 1600/2900

Dear Sir:

I hereby state that the Substitute Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer-readable form is identical to the written sequence listing. I further submit that this submission contains no new matter.

MERCHANT & GOULD P.C.
P.O. Box 2903, Minneapolis, MN 55402-0903
206.342.6200

By:

Name: Denise M. Kettelberger

Reg. No.: 33,924





DOCKET NOTIFICATION SLIP

TO: PATENT DOCKETING

Applicant: Andrea G. Cochran et al.
Title: STRUCTURED PEPTIDE SCAFFOLD FOR DISPLAYING TURN LIBRARIES ON
PHAGE
Serial No: 09/592, 695
Filed: June 13, 2000
Docket: 11669.0116USU1/P1762R1
Due Date: August 1, 2002

- ☒ Copy of Notice to Comply
- ☒ Substitute Sequence Listing
- ☒ Certificate Re: Sequence Listing Response
- ☒ Return postcard

Date of Deposit: July 25, 2002



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231
www.uspto.gov

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 09/592,695 | 06/13/2000 | Andrea G Cochran | PI762R1 | 7146 |

7590 07/01/2002
Steven X Cui
Genentech INC
DNA Way
South San Francisco, CA 94080-4990

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JUL 08 2002

GENENTECH, INC.
LEGAL, DEPT.

| |
|----------|
| EXAMINER |
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TIZIO, STEVEN C

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| ART UNIT | PAPER NUMBER |
|----------|--------------|

1627

DATE MAILED: 07/01/2002

17

Please find below and/or attached an Office communication concerning this application or proceeding.

WORKING COPY

CALENDAR/DCK

(Notice to Comply) Merchant
1 Aug 02
DUE DATE

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AUG 05 2002

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Response to
Notice to comply
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UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
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Washington, D.C. 20231

| SERIAL NUMBER | FILING DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NO. |
|---------------|-------------|-----------------------|---------------------|
| 09/592,695 | 6/13/00 | | |

| EXAMINER | |
|-----------|--------------|
| J. Venkat | |
| ART UNIT | PAPER NUMBER |
| 1627 | 17 |

DATE MAILED:

Please find below a communication from the EXAMINER in charge of this application

Commissioner of Patents

The communication filed on 4/30/02 is not fully responsive to the communication mailed 4/5/02. See the attached Raw Sequence Listing Error Report.

Since the response appears to be bona fide, but through an apparent oversight or inadvertence failed to provide a complete response, applicant is given **ONE (1) MONTH or THIRTY (30) DAYS** from the mailing date of this notice, whichever is longer, within which to supply the omission or correction in order to avoid abandonment. EXTENSIONS OF THIS TIME PERIOD MAY BE GRANTED UNDER 37 CFR 1.136(a).

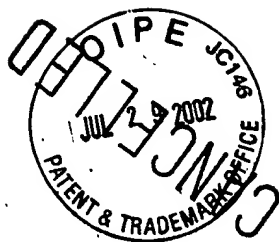
PLEASE NOTE: A reply to a notice to comply with the sequence rules should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office.

Please direct all replies to the United States Patent and Trademark Office via one (1) of the following:

1. Electronically submitted through EFS-Bio
(<http://www.uspto.gov/ebs/efs/downloads/documents.htm>), EFS
Submission User Manual - ePAVE)

2. Mailed to:
U.S. Patent and Trademark Office
Box Sequence, P.O. Box 2327
Arlington, VA 22202

3. Mailed by Federal Express, United Parcel Service or other delivery
service to:
U. S. Patent and Trademark Office
2011 South Clark Place
Customer Window, Box Sequence
Crystal Plaza Two, Lobby, Room 1B03
Arlington, Virginia 22202



4. Hand Carried directly to the Customer Window at:
2011 South Clark Place
Crystal Plaza Two, Lobby, Room 1B03, Box Sequence,
Arlington, Virginia 22202

Any inquiry concerning this communication should be directed to Supervisory Patent Examiner Venkat whose telephone number is (703) 308-2439. The fax number for this group is (703)305-3014.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the group receptionist whose telephone number is (703)308-0196.

J. Venkat
SPE, Art Unit 1627
Technology center 1600
25 June 2002

DR. JYOTIRMA VENKAT PH.D
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 1600

Application No.: 09/592,695

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☒ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other:

Applicant Must Provide:

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

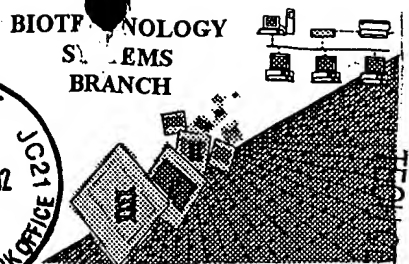
PatentIn Software Program Support (SIRA)

Technical Assistance.....703-287-0200

To Purchase PatentIn Software.....703-306-2600

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CRF Problem Report

The Scientific and Technical Information Center (STIC) experienced a problem when processing the following computer readable form (CRF):

Application Serial Number: 09/592,695B
Filing Date: 06/13/2000
Date Processed by STIC: 5/13/02

STIC Contact: Mark Spencer, 703-308-4212

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AUG 05 2002

TECH CENTER 1600/2900

Nature of Problem:

The CRF (was):

- ☒ (circle one) Damaged or Unreadable (for Unreadable, see attached)
- ☐ Blank (no files on CRF) (see attached)
- ☐ Empty file (filename present, but no bytes in file) (see attached)
- ☐ Virus-infected. Virus name: _____ The STIC will not process the CRF.
- ☐ Not saved in ASCII text
- ☐ Sequence Listing was embedded in the file. According to Sequence Rules, submitted file should **only** be the Sequence Listing.
- ☐ Did not contain a Sequence Listing. (see attached sample)
- ☐ Other: _____

**PLEASE USE THE CHECKER VERSION 3.1 PROGRAM TO REDUCE ERRORS.
SEE BELOW FOR ADDRESS:**

<http://www.uspto.gov/web/offices/pac/checker>

Applicants submitting genetic sequence information electronically on diskette or CD-Rom should be aware that there is a possibility that the disk/CD-Rom may have been affected by treatment given to all incoming mail. Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom. Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

1. EFS-Bio (<http://www.uspto.gov/ebc/efs/downloads/documents.htm>) , EFS Submission User Manual - ePAVE)
2. U.S. Postal Service: U.S. Patent and Trademark Office, Box Sequence, P.O. Box 2327, Arlington, VA 22202
3. Hand Carry directly to:
U.S. Patent and Trademark Office, Technology Center 1600, Reception Area, 7th Floor, Examiner Name, Sequence Information, Crystal Mall One, 1911 South Clark Street, Arlington, VA 22202
Or
U.S. Patent and Trademark Office, Box Sequence, Customer Window, Lobby, Room 1B03, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202
4. Federal Express, United Parcel Service , or other delivery service to: U.S. Patent and Trademark Office, Box Sequence, Room 1B03-Mailroom, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202